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APPLICATION NO.	FI	ILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
10/632,922	10/632,922 08/04/2003		Moungi G. Bawendi	14952.0274 C1 D1/MIT 4946 8096	
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WASHINGT			ART UNIT	PAPER NUMBER	

DATE MAILED: 07/17/2006

Please find below and/or attached an Office communication concerning this application or proceeding.

	Application No.	Applicant(s)				
	10/632,922	BAWENDI ET AL.				
Office Action Summary	Examiner	Art Unit				
	MY-CHAU T. TRAN	1639				
The MAILING DATE of this communication appears on the cover sheet with the correspondence address Period for Reply						
A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION. - Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication. - If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication. - Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).						
Status						
1) Responsive to communication(s) filed on <u>27 Ay</u> 2a) This action is FINAL . 2b) This 3) Since this application is in condition for allowar closed in accordance with the practice under E	action is non-final. nce except for formal matters, pro					
Disposition of Claims						
4) ⊠ Claim(s) <u>1-39</u> is/are pending in the application. 4a) Of the above claim(s) <u>4-11,14-25,28-30 and</u> 5) □ Claim(s) is/are allowed. 6) ⊠ Claim(s) <u>1-3,12,13,26,27,31-33 and 37-39</u> is/ar 7) □ Claim(s) is/are objected to. 8) □ Claim(s) are subject to restriction and/or	<u>d 34-36</u> is/are withdrawn from cor re rejected.	nsideration.				
Application Papers						
9) The specification is objected to by the Examine	r.					
10)⊠ The drawing(s) filed on <u>04 August 2003</u> is/are: a)⊠ accepted or b)□ objected to by the Examiner.						
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).						
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).						
11) The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.						
Priority under 35 U.S.C. § 119						
 12) Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f). a) All b) Some * c) None of: 1. Certified copies of the priority documents have been received. 2. Certified copies of the priority documents have been received in Application No 3. Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)). * See the attached detailed Office action for a list of the certified copies not received. 						
Attachment(s) 1) Notice of References Cited (PTO-892) 2) Notice of Draftsperson's Patent Drawing Review (PTO-948) 3) Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08) Paper No(s)/Mail Date	4) Interview Summary Paper No(s)/Mail Da 5) Notice of Informal P 6) Other:					

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DETAILED ACTION

Application and Claims Status

1. Applicants' amendment and response filed 04/27/2006 are acknowledged and entered.

2. Claims 1-39 were pending. Applicants have amended claims 1, 26, and 37. No claims were cancelled and/or added. Therefore, claims 1-39 are currently pending. In addition, the amendment filed also amended the specification regarding the priority claim.

Election/Restrictions

- 3. This application contains claims 4-11 and 14-25 drawn to inventions nonelected without traverse in the reply filed on 10/11/2005. A complete reply to the final rejection must include cancellation of nonelected claims or other appropriate action (37 CFR 1.144) See MPEP § 821.01.
- 4. Applicant has elected the following species for the elected invention (Claims 1-3, 12, 13, and 26-39) in the reply filed on 10/11/2005:
 - a. For the single specific species of compound/member, applicant elected polypeptide.
 - b. For the single specific species of support, applicant elected bead.

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5. Claims 28-30 and 34-36 are withdrawn from further consideration pursuant to 37 CFR 1.142(b) as being drawn to *nonelected species*, there being no allowable generic or linking claim. Election was made without traverse in the reply filed on 10/11/2005.

6. Claims 1-3, 12, 13, 26, 27, 31-33, and 37-39 are under consideration in this Office Action.

Status of Claim(s) Objection(s) and /or Rejection(s)

- 7. The objection of the disclosure for the informality of not including the current status of all nonprovisional parent applications referenced has been withdrawn in light of applicant's amendments of the specification.
- 8. The rejection of claims 1-3, 12, 13, 26, 27, 31-33, and 37-39 under 35 USC 103(a) as being obvious over Dower et al. (US Patent 5,770,358) in view of Weiss et al. (US Patent 5,990,479) has been withdrawn in view of applicant's amendments of claims 1, 26, and 37, wherein the limitation of "more than one populations of semiconductor nanocrystal" is added.
- 9. The rejection under the judicially created doctrine of obviousness-type double patenting of claims 1, 3, 12, 13, 26, 27, 32, 33, 37, and 39 over claims 1, 2, and 10-12 of U.S. Patent No. 6,326,144 B1 (refers to as Bawendi's '144) in view of Dower et al. (US Patent 5,770,358) have been withdrawn in view of the terminal disclaimer filed on 04/27/2006.

10. The rejection under the judicially created doctrine of obviousness-type double patenting of claims 1-3, 12, 13, 26, 27, 31-33, and 37-39 over claims 1-4, 6, 7, 8, 9, and 16-20 of U.S. Patent No. 6,617,583 B1 (refers to as Bawendi's '583) in view of Dower et al. (US Patent 5,770,358) have been withdrawn in view of the terminal disclaimer filed on 4/27/2006.

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Maintained Rejection(s)

Claim Rejections - 35 USC § 102

- 11. The text of those sections of Title 35, U.S. Code not included in this action can be found in a prior Office action.
- 12. Claims 1-3, 12, 13, 26, 27, 31-33, and 37-39 are rejected under 35 U.S.C. 102(b) as being anticipated by Zarling et al. (US Patent 5,674,698).

Zarling et al. disclose methods, compositions, and apparatus for the detection of analytes (see e.g. Abstract; col. 5, lines 23-39; col. 7, lines 38-64). In general, the composition comprises a probe (refers to instant claimed compound of claim 1/member chemicals of claim 26), a label, and a solid substrate (refers to instant claimed support)(see e.g. col. 12, line 60 thru col. 13, line 2; col. 22, lines 55-60; col. 23, lines 30-52; col. 24, lines 6-17; col. 24, line 60 thru col. 25, line 29). The probe is immobilized on the solid substrate (refers to instant claimed limitation of 'each compound is bound to the support')(see e.g. col. 23, lines 30-52; col. 24, lines 6-17; col. 24, line 60 thru col. 25, line 29). The probe includes antibody, which is define as one or more polypeptides (refers to instant claimed polypeptide of claim 37, and instant claims 13 and 27)(see e.g. col. 10, lines 33-50; col. 11, lines 25-27; col. 12, line 65 thru col. 13, line 2; col. 23, lines 30-52). The solid substrate includes bead (refers to instant claimed support and instant claims 12

and 33)(see e.g. col. 23, lines 30-52; col. 24, line 60 thru col. 25, line 29). The label is the upconverting phosphor particles (refers to instant claimed nanocrystals) in which each upconverting phosphor particle comprises a host material (refers to instant claimed a shell layer overcoating the core) doped with an absorber and the emitting center (refers to instant claimed core) such that the combination of host material, absorber, and emitter produces distinct emission spectra (refers to instant claimed functional property of the nanocrystal, and instant claims 2, 3, 31, 32, 38 and 39)(see e.g. col. 13, lines 43-47; col. 14, lines 17-50; col. 16, lines 19-48; col. 24, lines 18-45), and the label is directly or indirectly attached to the probe (refers to instant claimed 'each support having associated therewith more than one populations of semiconductor nanocrystals')(see e.g. col. 19, line 62 thru col. 20, line 16; col. 23, lines 30-52). In addition, the label comprises various phosphor materials compositions that include Gadolinium, Ytterbium and Erbium, i.e. Group III compounds (refers to instant claimed 'a Group II-IV semiconductor, a Group III-V semiconductor, a Group IV semiconductor, or an alloy, or mixture thereof) (see e.g. col. 16, lines 19-67; col. 16, Table I) and the label can comprise of different absorbers in combination with various emitters to produce a collection of phosphors having several differentiable combinations of excitation and emission spectra (refers to instant claimed 'more than one populations of semiconductor nanocrystals') (see e.g. col. 24, lines 18-54).

Furthermore, Zarling et al. disclose methods of using differentiable up-converting phosphors and/or plurality of different probes (refers to instant claimed library) to detect and discriminate multiple analyte targets (see e.g. col. 22, lines 55-60; col. 24, lines 18-54; col. 24, line 55 thru col. 26, line 67). In one embodiment, the method of using differentiable up-converting phosphors to detect the presence and relative abundance of particular isoforms of

human APP (amyloid precursor protein) in a serum or brain biopsy sample wherein superparamagnetic beads are conjugated to either an antibody that binds specifically to a common APP epitope (X) shared by all isoforms, a specific antibody reactive with the unique Y epitope is labeled with Phosphor #1, which is excited by wavelength λ_1 and emits in a wavelength spectrum centered in the blue, or a specific antibody reactive with the unique Z epitope is labeled with Phosphor #2, which is excited by a wavelength λ_2 and emits in a wavelength spectrum centered in the green (refers to instant claimed library of compounds, and instant claimed 'each support having associated therewith more than one populations of semiconductor nanocrystals') (see col. 25, lines 31-67).

Therefore, the compositions of Zarling et al. anticipate the presently claimed product.

Response to Arguments

- 13. Applicant's arguments directed to the above 102(b) rejection were considered but they are not persuasive for the following reasons. Please note that the above rejection has been modified from it original version to more clearly address applicant's newly amended and/or added claims and/or arguments.
- [1] Applicant contends that the up-converting phosphor particles 'described in Zarling is not a semiconductor nanocrystal core overcoated by a semiconductor shell'.
- [2] Applicant alleges that 'Zarling does not describe a nanocrystal that includes a Group III-VI semiconductors a Group III-V semiconductor, a Group IV semiconductors or an alloy or mixture thereof'.

Thus, the compositions of Zarling et al. do not anticipate the presently claimed product.

This is not found persuasive for the following reasons:

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[1] The examiner respectfully disagrees. It is the examiner's position that the upconverting phosphor particles described in Zarling et al. do anticipate the instant claimed 'semiconductor nanocrystal core overcoated by a semiconductor shell'. Zarling et al. described the up-converting phosphor particles comprising a host material doped with an absorber and the emitting center, i.e. the 'core' of the up-converting phosphor particles comprises an absorber and the emitting center and the 'shell' of the up-converting phosphor particles comprises a host material (see e.g. col. 14, lines 17-33). The host material includes material such as Gadolinium Oxysulfides (Gd₂O₂S), i.e. 'a semiconductor shell', and the absorber and the emitting center include material such as Ytterbium and Erbium, i.e. 'semiconductor nanocrystal core'.

Consequently, the up-converting phosphor particles of Zarling et al. do anticipate the instant claimed 'semiconductor nanocrystal core overcoated by a semiconductor shell'.

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[2] The examiner respectfully disagrees. It is the examiner's position that the upconverting phosphor particles described in Zarling et al. do anticipate the instant claimed 'nanocrystal that includes a Group III-VI semiconductors a Group III-V semiconductor, a Group IV semiconductors or an alloy or mixture thereof'. Zarling et al. described that the upconverting phosphor particles are produce various combination of phosphor material compositions (see e.g. col. 16, lines 19-67; col. 16, Table I) wherein the absorber and the emitting center include material such as Ytterbium and Erbium, i.e. the compounds are Group III semiconductor of the claimed 'semiconductor nanocrystal'. Accordingly, the up-converting phosphor particles described in Zarling et al. do anticipate the instant claimed 'nanocrystal that includes a Group II-VI semiconductors a Group III-V semiconductor, a Group IV semiconductors or an alloy or mixture thereof'.

Therefore, the compositions of Zarling et al. anticipate the presently claimed product, and the rejection is maintained.

New Objection(s) and/or Rejection(s) – Necessitated by Amendment Claim Objections

14. Claims 1, 26, and 37 are objected to because the claims contain improperly written

Markush language. Only one conjunction "or" should be used between each member of the

Markush group when using the phrase "wherein" and "or", i.e. the limitation of 'wherein each

nanocrystal comprises a Group II-VI semiconductor, a Group III-V semiconductor, a Group IV

semiconductor, or an alloy or mixture thereof' should be 'wherein each nanocrystal comprises a

Group II-VI semiconductor, a Group III-V semiconductor, a Group IV semiconductor, an alloy,

or mixture thereof'.

Claim Rejections - 35 USC § 112

- 15. The following is a quotation of the second paragraph of 35 U.S.C. 112:
 - The specification shall conclude with one or more claims particularly pointing out and distinctly claiming the subject matter which the applicant regards as his invention.
- 16. Claims 1-3, 12, 13, 26, 27, 31-33, and 37-39 rejected under 35 U.S.C. 112, second paragraph, as being indefinite for failing to particularly point out and distinctly claim the subject matter which applicant regards as the invention.

A broad range or limitation together with a narrow range or limitation that falls within the broad range or limitation (in the same claim) is considered indefinite, since the resulting claim does not clearly set forth the metes and bounds of the patent protection desired. See MPEP §

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2173.05(c). Note the explanation given by the Board of Patent Appeals and Interferences in *Ex parte Wu*, 10 USPQ2d 2031, 2033 (Bd. Pat. App. & Inter. 1989), as to where broad language is followed by "such as" and then narrow language. The Board stated that this can render a claim indefinite by raising a question or doubt as to whether the feature introduced by such language is (a) merely exemplary of the remainder of the claim, and therefore not required, or (b) a required feature of the claims. Note also, for example, the decisions of *Ex parte Steigewald*, 131 USPQ 74 (Bd. App. 1961); *Ex parte Hall*, 83 USPQ 38 (Bd. App. 1948); and *Ex parte Hasche*, 86 USPQ 481 (Bd. App. 1949). In the present instance, claims 1, 26, and 37 recites the broad recitation of '*Group II-VI semiconductor*', and the claim also recites '*Group II-VI semiconductor*' and '*Group IV semiconductor*' which is the narrower statement of the range/limitation.

Claim Rejections - 35 USC § 103

- 17. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:
 - (a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negatived by the manner in which the invention was made.
- 18. This application currently names joint inventors. In considering patentability of the claims under 35 U.S.C. 103(a), the examiner presumes that the subject matter of the various claims was commonly owned at the time any inventions covered therein were made absent any evidence to the contrary. Applicant is advised of the obligation under 37 CFR 1.56 to point out the inventor and invention dates of each claim that was not commonly owned at the time a later

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invention was made in order for the examiner to consider the applicability of 35 U.S.C. 103(c) and potential 35 U.S.C. 102(e), (f) or (g) prior art under 35 U.S.C. 103(a).

19. Claims 1-3, 12, 13, 26, 27, 31-33, and 37-39 are rejected under 35 U.S.C. 103(a) as being unpatentable over Dower et al. (US Patent 5,770,358) in view of Zarling et al. (US Patent 5,674,698).

Dower et al. disclose the libraries of tagged synthetic oligomer and the method of synthesizing the libraries (see e.g. Abstract; col. 1, lines 11-17; col. 3, lines 13-28; col. 3, lines 57-63). The library comprises oligomers bound to a solid supports and labeled with identifier tags (see e.g. col. 3, lines 13-28; col. 3, lines 57-63; col. 4, line 66 thru col. 5, line 4). The oligomers include polypeptides (refers to instant claimed compound of claim 1/member chemicals of claim 26/polypeptide of claim 37, and instant claims 13 and 27)(see e.g. col. 6, lines 27-52; col. 8, line 48 thru col. 9, line 14). The solid supports include bead (refers to instant claimed support and instant claims 12 and 33)(see e.g. col. 8, lines 21-30; col. 10, lines 42-52; col. 11, lines 22-45). The identifier tags include fluorescent compounds (see e.g. col. 3, lines 57-63; col. 5, lines 50-67; col. 15, lines 10-35) and are either attached to the oligomer or the solid support (see e.g. col. 11, lines 49-63; col. 16, lines 31-39).

The libraries of Dower et al. differ from the presently claimed invention by failing to include semiconductor nanocrystal labels.

Zarling et al. disclose methods, compositions, and apparatus for the detection of analytes (see e.g. Abstract; col. 5, lines 23-39; col. 7, lines 38-64). In general, the composition comprises a probe (refers to instant claimed compound of claim 1/member chemicals of claim 26), a label, and a solid substrate (refers to instant claimed support)(see e.g. col. 12, line 60 thru col. 13, line

2; col. 22, lines 55-60; col. 23, lines 30-52; col. 24, lines 6-17; col. 24, line 60 thru col. 25, line 29). The probe is immobilized on the solid substrate (refers to instant claimed limitation of 'each compound is bound to the support') (see e.g. col. 23, lines 30-52; col. 24, lines 6-17; col. 24, line 60 thru col. 25, line 29). The probe includes antibody, which is define as one or more polypeptides (refers to instant claimed polypeptide of claim 37, and instant claims 13 and 27)(see e.g. col. 10, lines 33-50; col. 11, lines 25-27; col. 12, line 65 thru col. 13, line 2; col. 23, lines 30-52). The solid substrate includes bead (refers to instant claimed support and instant claims 12) and 33)(see e.g. col. 23, lines 30-52; col. 24, line 60 thru col. 25, line 29). The label is the upconverting phosphor particles (refers to instant claimed nanocrystals) in which each upconverting phosphor particle comprises an absorber (refers to instant claimed a shell layer overcoating the core) and the emitting center (refers to instant claimed core) such that the combination of absorber and emitter produces emission spectra (refers to instant claimed functional property of the nanocrystal, and instant claims 2, 3, 31, 32, 38 and 39) (see e.g. col. 13, lines 43-47; col. 14, lines 17-50; col. 16, lines 19-48; col. 24, lines 18-45), and the label is directly or indirectly attached to the probe (refers to instant claimed 'each support having associated therewith more than one populations of semiconductor nanocrystals') (see e.g. col. 19, line 62 thru col. 20, line 16; col. 23, lines 30-52). In addition, the label comprises various phosphor materials compositions that include Ytterbium and Erbium, i.e. Group III (refers to instant claimed 'a Group II-IV semiconductor, a Group III-V semiconductor, a Group IV semiconductor, or an alloy, or mixture thereof (see e.g. col. 16, lines 19-67; col. 16, Table I) and the label can comprise of different absorbers in combination with various emitters to produce a collection of phosphors having several differentiable combinations of excitation and emission

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spectra (refers to instant claimed 'more than one populations of semiconductor nanocrystals') (see e.g. col. 24, lines 18-54).

Furthermore, Zarling et al. disclose methods of using differentiable up-converting phosphors and/or plurality of different probes (refers to instant claimed library) to detect and discriminate multiple analyte targets (see e.g. col. 22, lines 55-60; col. 24, lines 18-54; col. 24, line 55 thru col. 26, line 67). In one embodiment, the method of using differentiable up-converting phosphors to detect the presence and relative abundance of particular isoforms of human APP (amyloid precursor protein) in a serum or brain biopsy sample wherein superparamagnetic beads are conjugated to either an antibody that binds specifically to a common APP epitope (X) shared by all isoforms, a specific antibody reactive with the unique Y epitope is labeled with Phosphor #1, which is excited by wavelength λ_1 and emits in a wavelength spectrum centered in the blue, or a specific antibody reactive with the unique Z epitope is labeled with Phosphor #2, which is excited by a wavelength λ_2 and emits in a wavelength spectrum centered in the green (refers to instant claimed library of compounds, and instant claimed 'each support having associated therewith more than one populations of semiconductor nanocrystals')(see col. 25, lines 31-67).

It would have been obvious to a person of ordinary skill in the art at the time the invention was made to include semiconductor nanocrystal labels as taught by Zarling et al. in the libraries of Dower et al. One of ordinary skill in the art would have been motivated to include semiconductor nanocrystal labels in the libraries of Dower et al. for the advantage of providing labels that permit sensitive optical and/or spectroscopic detection of specific labels signal(s) with essentially total rejection of nonspecific background noise (Zarling: col. 5, lines 9-14) since both

Dower et al. and Zarling et al. disclose a labeled probe wherein the probe is polypeptide (Dower: col. 6, lines 27-52; Zarling: col. 10, lines 33-50). Moreover, Dower et al. disclose that any type of labels can be use (Dower: col. 15, lines 9-27). Furthermore, one of ordinary skill in the art would have a reasonable expectation of success in the combination of Dower et al. and Zarling et al. because the type of labels use would be a choice of experimental design and is considered within the purview of the cited prior art.

Thus, the combine teachings of Dower et al. and Zarling et al. do render the product of the instant claims *prima facie* obvious.

Response to Arguments

20. Applicant's arguments with respect to claims 1-3, 12, 13, 26, 27, 31-33, and 37-39 under 35 U.S.C. 103(a) as being unpatentable over Dower et al. (US Patent 5,770,358) in view of Weiss et al. (US Patent 5,990,479) have been considered but are moot in view of the new ground(s) of rejection.

Terminal Disclaimer

21. The terminal disclaimer filed on 04/27/2006 disclaiming the terminal portion of any patent granted on this application, which would extend beyond the expiration date of U.S. Patent No. 6,326,144 B1 and U.S. Patent No. 6,617,583 B1 has been reviewed and is accepted. The terminal disclaimer has been recorded.

Conclusion

22. Applicant's amendment necessitated the new ground(s) of rejection presented in this Office action. Accordingly, **THIS ACTION IS MADE FINAL**. See MPEP § 706.07(a). Applicant is reminded of the extension of time policy as set forth in 37 CFR 1.136(a).

A shortened statutory period for reply to this final action is set to expire THREE MONTHS from the mailing date of this action. In the event a first reply is filed within TWO MONTHS of the mailing date of this final action and the advisory action is not mailed until after the end of the THREE-MONTH shortened statutory period, then the shortened statutory period will expire on the date the advisory action is mailed, and any extension fee pursuant to 37 CFR 1.136(a) will be calculated from the mailing date of the advisory action. In no event, however, will the statutory period for reply expire later than SIX MONTHS from the date of this final action.

Any inquiry concerning this communication or earlier communications from the examiner should be directed to MY-CHAU T. TRAN whose telephone number is 571-272-0810. The examiner can normally be reached on Mon.: 8:00-2:30; Tues-Thur: 7:30-5:00; Fri.: 8:00-3:30.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, PETER PARAS, JR can be reached on 571-272-4517. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

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Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see http://pair-direct.uspto.gov. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

mct July 7, 2006 PETER PARAS, JR. SUPERVISORY PATENT EXAMINER TECHNOLOGY CENTER 1600

Pote Yang